

16519 U.S. PTO
09/30/03

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UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	2132.0010002
First Inventor	Xiangfeng Duan
Title	Large Area Nanoenabled Macroelectronic Substrates and Uses Thereof
Express Mail Label No.	

0074 U.S. PTO
10-674060

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

- ☐ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
- ☐ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification (Total Pages 154)
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Prior art (Sections 8 & D)
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets 51)
- Oath or Declaration** (Total Pages _____)
 - ☐ Newly executed (original or copy)
 - ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76.
- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS/PTO-1449) ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Two Return Receipt Postcards (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)
- ☒ Other: The name of the assignee is: Nanosys, Inc.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: _____
Prior application information: Examiner _____ Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

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NAME (Print/Type)	Jeffrey S. Weaver	Registration No. (Attorney/Agent)	45,608
SIGNATURE	<i>Jeffrey S. Weaver</i>	Date	9-30-03

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and any suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



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September 30, 2003

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Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Mail Stop Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: September 30, 2003

For: **Large Area Nanoenabled Macroelectronic Substrates And Uses Therefor**

Inventors: Duan *et al.*
Our Ref: 2132.0010002

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. USPTO Utility Patent Application Transmittal Form PTO/SB/05;
2. 37 C.F.R. § 1.136(a)(3) Authorization to Treat a Reply As Incorporating An Extension of Time;
3. U.S. Utility Patent Application entitled:

Large Area Nanoenabled Macroelectronic Substrates And Uses Therefor

and naming as inventors:

**Xiangfeng Duan
Chunming Niu
Stephen Empedocles
Linda T. Romano
Jian Chen
Vijendra Sahi
Lawrence Bock**

Commissioner for Patents
September 30, 2003
Page 2

**David Stumbo
J. Wallace Parce
Jay L. Goldman**

the application comprising:

- a. An Application Data Sheet (37 C.F.R. § 1.76);
 - b. A specification containing:
 - i. 118 pages of description prior to the claims;
 - ii. 35 pages of claims (172 claims); and
 - iii. a one (1) page abstract;
 - c. 51 sheets of drawings (Figures 1, 2, 3A-3D, 4A, 4B, 5, 6A-6F, 7, 8A-8C, 9, 10, 11A, 11B, 12, 13A-13C, 14, 15A, 15B, 16, 17A, 17B, 18A-18C, 19A-19F, 20A, 20B, 21-33, 34A-34C, 35A-35D, 36A-36D, 37A-37D, 38A-38C, 39A-39C, 40, 41A, 41B, 42, 43, 44A-44C, 45-47, 48A, 48B);
4. Preliminary Amendment; and
 5. Two (2) return postcards.

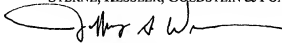
Correspondence should be sent to Customer Number 26111.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

This patent application is being submitted under 37 C.F.R. § 1.53(b) without Declaration and without filing fee.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey S. Weaver
Attorney for Applicant
Registration No. 45,608

JSW/asl
Enclosures

SKGF_DC1:183256.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Duan *et al.*

Appl. No. To be assigned

Filed: September 30, 2003

For: **Large Area Nanoenabled
Macroelectronic Substrates And
Uses Therefor**

Confirmation No. n/a

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 2132.0010002

**Authorization To Treat A Reply As Incorporating An Extension Of
Time Under 37 C.F.R. § 1.136(a)(3)**

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Jeffrey S. Weaver
Attorney for Applicant
Registration No. 45,608

Date: 9-30-03

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